

# Small Entity Verified Statement Filed with Parent Application

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



<b>VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS</b> <b>(37 CFR 1.9(f) &amp; 1.27(d))—NONPROFIT ORGANIZATION</b>		Docket Number (Optional) <b>IB-1330</b>
Applicant or Patentee: <u>Weiss et al</u> Serial or Patent No.: <u>not yet assigned</u> Filed or Issued: _____		
Title: <u>ORGANO LUMINESCENT SEMICONDUCTOR NANOCRYSTAL PROBE FOR BIOLOGICAL APPLICATIONS AND PROCESS FOR MAKING AND USING...</u> I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below: NAME OF NONPROFIT ORGANIZATION <u>The Regents, University of California</u> ADDRESS OF NONPROFIT ORGANIZATION <u>300 Lakeside Drive, 21st Floor</u> <u>Oakland, CA 94612-3550</u>		
TYPE OF NONPROFIT ORGANIZATION: <input checked="" type="checkbox"/> UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION <input type="checkbox"/> TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) <input type="checkbox"/> NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF STATUTE _____) <input type="checkbox"/> WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA <input type="checkbox"/> WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF STATUTE _____)		
I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:		
<input type="checkbox"/> the specification filed herewith with title as listed above. <input checked="" type="checkbox"/> the application identified above <input type="checkbox"/> the patent identified above.		
I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(e) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).		
Each person, concern or organization having any rights in the invention is listed below:		
<input type="checkbox"/> no such person, concern, or organization exists. <input type="checkbox"/> each such person, concern or organization is listed below.		
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))		
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.		
NAME OF PERSON SIGNING <u>Paul R. Martin</u>		
TITLE IN ORGANIZATION OF PERSON SIGNING <u>Manager, Patent Department</u>		
ADDRESS OF PERSON SIGNING <u>Lawrence Berkeley Lab, Patent Department</u> <u>1 Cyclotron Road MS 90 1121 Berkeley CA 94720</u>		
SIGNATURE <u>[Signature]</u> DATE <u>11-24-97</u>		

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